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PTO/SB/01 (10-00)

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing      OR      ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

<b>Attorney Docket Number</b>	<b>421/32/2</b>
<b>First Named Inventor</b>	<b>Dhiren R. Thakker</b>
<b>COMPLETE IF KNOWN</b>	
Application Number	/
Filing Date	
Group Art Unit	
Examiner Name	

**As a below named inventor, I hereby declare that:**

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**COMPOSITIONS AND METHODS FOR ENHANCING PARACELLULAR PERMEABILITY  
ACROSS EPITHELIAL AND ENDOTHELIAL BARRIERS**

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.
60/239,328	10/10/2000	

[Page 1 of 2]

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## DECLARATION — Utility or Design Patent Application

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name

(first and middle [if any])

Dhiren R.

Family Name

or Surname

Thakker

Inventor's  
Signature

Date

Residence: City Raleigh

State NC

Country USA

Citizenship USA

Mailing Address 317 Dalton Drive

Mailing Address

City Raleigh

State NC

ZIP 27615

Country USA

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name

(first and middle [if any])

Peter D.

Family Name

or Surname

Ward

Inventor's  
Signature

Date

Residence: City Chapel Hill

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Citizenship USA

Mailing Address 1100 Hwy. 54 Bypass, Apt. 28G

Mailing Address

City Chapel Hill

State NC

ZIP 27516

Country USA

☐ Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

ASSIGNMENT

WHEREAS, we, Dhiren R. Thakker, City of Raleigh, State of North Carolina, and Peter D. Ward, City of Chapel Hill, State of North Carolina, (hereinafter "Assignors"), have invented certain new and useful improvements in COMPOSITIONS AND METHODS FOR ENHANCING PARACELLULAR PERMEABILITY ACROSS EPITHELIAL AND ENDOTHELIAL BARRIERS for which an application for Letters Patent of the United States was made on October 10, 2000 as U.S. Provisional Patent Application Serial No. 60/239,328.

AND, WHEREAS, The University of North Carolina, a non-profit organization located at Chapel Hill, North Carolina, (hereinafter "Assignee"), is desirous of acquiring an interest therein.

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors have sold and by these presents do hereby sell, assign, transfer and convey unto the said Assignee, its successors and assigns, his/her or their entire right, title and interest in and to said invention and application, and in and to any and all United States patent applications filed pursuant to 35 U.S.C. § 111(a) pertaining to said invention and/or which claim priority to the United States provisional patent application referenced above, and in and to any and all continuations, continuations-in-part, or divisions of any U.S. or foreign patent application filed on the invention, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues or extensions thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with his/her or their right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said Assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by Assignors if this assignment and sale had not been made.

Assignors hereby request that said Letters Patent be issued in accordance with this assignment.

09974519-101001

Assignors further covenant and agree that, at the time of the execution and delivery of these presents, Assignors possess full title to the invention and application above-mentioned, and that they have the unencumbered right and authority to make this assignment.

Assignors further covenant and agree, and likewise bind their heirs, legal representatives and assigns, to promptly communicate to said Assignee or its representatives any facts known to them relating to said invention, to testify in any interference or legal proceedings involving said invention, to execute any additional papers which may be requested to confirm the right of the Assignee, its representatives, successors and assigns to secure patent or similar protection for the said invention in all countries and to vest in the Assignee complete title to the said invention and Letters Patent, without further compensation, but at the expense of said Assignee, its successors, assigns and other legal representatives.

Executed this 11th day of December 2000.

Dhiren R. Thakker  
Dhiren R. Thakker

Witnessed by:

[Signature] 12-11-00  
Name Date

Denise Johnson 12/11/00  
Name Date

\*\*\*\*\*

Executed this 11th day of December 2000.

Peter D. Ward  
Peter D. Ward

Witnessed by:

[Signature] 12-11-00  
Name Date

Denise Johnson 12/11/00  
Name Date

MAR 23 2001



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MARCH 19, 2001

PTAS



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NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
THAKKER, DHIREN R.

DOC DATE: 12/11/2000

ASSIGNOR:  
WARD, PETER D.

DOC DATE: 12/11/2000

ASSIGNEE:  
NORTH CAROLINA, UNIVERSITY OF  
308 BYNUM HALL, CAMPUS BOX 4105  
CHAPEL HILL, NORTH CAROLINA

27599-4105

SERIAL NUMBER: 60239328  
PATENT NUMBER:

FILING DATE: 10/10/2000  
ISSUE DATE:

DOCKET DATES: N/A  
ASSIGNED ATTY: AAT  
FILE NO. 421/32  
DOCKETED BY: K815  
DATE: 03/29/01

011402/0030 PAGE 2

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ASSIGNMENT DIVISION  
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Patent and Trademark Office

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To the Honorable Commissioner of Patent

101577547

Attached original documents or copy thereof.

1. Name of conveying party(ies):

Dhiren R. Thakker

Peter D. Ward

2. Name and address of receiving party(ies):

Name: University of North Carolina

Internal Address:

Street Address: 308 Bynum Hall, Campus Box 4105

City: Chapel Hill

State: NC

ZIP: 27599-4105

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

Additional name(s) & address(es) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: December 11, 2000

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

60/239,328

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Arles A. Taylor, Jr.

Internal Address: Jenkins & Wilson, P.A.

Suite 1400 University Tower

Street Address: 3100 Tower Boulevard

City: Durham State: NC ZIP: 27707

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Arles A. Taylor, Jr.

Name of Person Signing

Signature

Date

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